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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER

LIN, KENNY S

ART UNIT	PAPER NUMBER
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2154

DATE MAILED: 04/07/2004

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Please find below and/or attached an Office communication concerning this application or proceeding.

Advisory Action

Application No.

09/607,170

Applicant(s)

DUTTA ET AL.

Examiner

Kenny Lin

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--The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

THE REPLY FILED 23 March 2004 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE. Therefore, further action by the applicant is required to avoid abandonment of this application. A proper reply to a final rejection under 37 CFR 1.113 may only be either: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114.

PERIOD FOR REPLY [check either a) or b)]

- a) ☒ The period for reply expires 3 months from the mailing date of the final rejection.
- b) ☐ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.
- ONLY CHECK THIS BOX WHEN THE FIRST REPLY WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

1. ☐ A Notice of Appeal was filed on _____. Appellant's Brief must be filed within the period set forth in 37 CFR 1.192(a), or any extension thereof (37 CFR 1.191(d)), to avoid dismissal of the appeal.
2. ☐ The proposed amendment(s) will not be entered because:
- (a) ☐ they raise new issues that would require further consideration and/or search (see NOTE below);
 - (b) ☐ they raise the issue of new matter (see Note below);
 - (c) ☐ they are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or
 - (d) ☐ they present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: _____

3. ☐ Applicant's reply has overcome the following rejection(s): _____.
4. ☐ Newly proposed or amended claim(s) _____ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).
5. ☒ The a) ☐ affidavit, b) ☐ exhibit, or c) ☒ request for reconsideration has been considered but does NOT place the application in condition for allowance because: see attached sheet.
6. ☐ The affidavit or exhibit will NOT be considered because it is not directed SOLELY to issues which were newly raised by the Examiner in the final rejection.
7. ☐ For purposes of Appeal, the proposed amendment(s) a) ☐ will not be entered or b) ☒ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.

The status of the claim(s) is (or will be) as follows:

Claim(s) allowed: none.

Claim(s) objected to: none.

Claim(s) rejected: 1-20.

Claim(s) withdrawn from consideration: none.

8. ☐ The drawing correction filed on _____ is a) ☐ approved or b) ☐ disapproved by the Examiner.
9. ☐ Note the attached Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____.
10. ☒ Other: see attached sheet

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SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100

Response to Arguments

1. In the remark, applicant argued that (1) As per Claim 1, Haverstock fail to suggest nor teach the limitation of creating a working copy of the base document upon entry of a base document into a workflow, and selectively providing a user access to either the base document or the working copy of the based document depending upon the identity of a user. (2) As per Claim 13, Haverstock fail to suggest nor teach the limitation maintaining a copy of a base document undergoing a publishing workflow, and upon receipt of a request to access the base document, selectively determining based on the access control data to provide access to either the base document or the copy of the based document. (3) Haverstock and Sudama fail to teach or suggest that unique identifiers associated with new operations may be performed on a copy of a base document, and updating an access control list to limit the roles that have access to the operation. (4) Rejection on several elements of claim 20 is based on impermissible hindsight by the examiner.

2. Examiner respectfully traverse the argument:

As to point (1), this has already been addressed in response to argument in the final rejection. Regarding Claim 1, Haverstock taught to create a working copy of the base document (HTML representation) upon entry of a base document (information transmitted to the non-HTML server module) into a workflow (pp. 0018, 0027) and selectively providing a user access to the working copy of the based document depending upon the identity of a user (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071). Since the claim language recited the “either ... or” condition where “selectively providing a user access to either

the base document or the working copy of the based document depending upon the identity of a user”, the reference needs to show only one of either one of the limitations, in which selectively providing a user access to the working copy of the based document depending upon the identity of a user (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071).

As to point (2), this has already been addressed in response to argument in the final rejection. Regarding Claim 13, Haverstock taught to maintaining a copy of a base document undergoing a publishing workflow (replication, pp. 0025) and upon receipt of a request to access the base document (pp. 0060), selectively determining based on the access control data to provide access to the copy of the based document (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071). Since the claim language recited the “either ... or” condition where “selectively providing a user access to either the base document or the working copy of the based document depending upon the identity of a user”, the reference needs to show only one of either one of the limitations, in which selectively providing a user access to the copy of the based document depending upon the identity of a user (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071).

As to point (3), this has already been addressed in response to argument in the final rejection. Regarding Claim 20, Haverstock taught the invention substantially as claimed including a method of updating access controls to reflect the addition of a new operation (pp. 0060 access privilege changed) that may be performed on a copy of a base document (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071), in a system wherein access to operations to be performed on a copy of the base document are controlled

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using an access control list which identifies the operations that may be performed and the roles that a user must have to access those operations (pp. 0067-0071), comprising: new operations that may be performed on copy of a base document (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071); updating the access control list (pp. 0060). Haverstock did not specifically teach the method to comprise: assigning a unique identifier to the new operation; updating the access control list to include an entry for the unique identifier for the new operation or to include an entry identifying the roles that have access to the new operation. Sudama taught to assign unique identifier to operations (col.5, lines 33-37, col.8, lines 55-57, it is inherent for new operations to have assigned unique identifier) and use the unique identifiers to track the executions of the operations so performances can be notified to the user. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Haverstock and Sudama because Sudama's teaching of assigning unique identifiers to operations to provide management benefits enables Haverstock's method to manage and keep track of the types of operations performed on the documents using the identifiers. Haverstock and Sudama did not specifically the updating the access control list step to include an entry for the unique identifier for the new operation or to include an entry identifying the roles that have access to the new operation. However, in order to add the new operation and enable the roles to have access to the new operation, it would have been obvious that the access control list must be updated so the authentication to the existing users is valid with the new operation since the access control list is in correspondence with the operations and user roles. It is an essential step, whether the step is done manually or automatically, that cannot be skipped since updating the access control list reflects the new operation and roles (pp. 0060,

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access privileges and user role update). It would have been obvious to one of ordinary skill in the art at the time the invention was made to recognize that once a new operation is introduced in Haverstock and Sudama's method, the access control list must be edited to provide up to date authentication to provide existing users, that have the privilege, to execute the new operation. Since the claim language recited the "either ... or" condition where "selectively providing a user access to either the base document or the working copy of the based document depending upon the identity of a user", the reference needs to show only one of either one of the limitations, in which selectively providing a user access to the copy of the based document depending upon the identity of a user (role-based security with different level of access privilege to the document, pp. 0057, 0060, 0065-0071).

As to point (4), in response to applicant's argument that the examiner's conclusion of obviousness is based upon improper hindsight reasoning, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning. But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper. See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971). In order to add the new operation and enable the roles to have access to the new operation, it would have been obvious that the access control list must be updated so the authentication to the existing users is valid with the new operation since the access control list is in correspondence with the operations and user roles. It is an essential step, whether the step is done manually or automatically, that cannot be skipped since updating the

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access control list reflects the new operation and roles (pp. 0060, access privileges and user role update).



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